

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Harris, et al.

Serial No.: 08/259,413

Group Art Unit No.: 1651

Filed: June 14, 1994

Examiner: H. Lilling

For: PEGYLATION REAGENTS AND COMPOUNDS  
FORMED THEREWITH

Docket No.: S-210C

RECEIVED  
TECH. CENTER 1600/2900  
01 OCT 15 AM 10:52

DECLARATION AND POWER OF ATTORNEY

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first, and sole inventor (if only one name is listed below) or a joint inventor (if plural names are listed below) of the invention entitled

PEGYLATION REAGENTS AND COMPOUNDS FORMED THEREWITH

which is described and claimed in the specification which:

- ☐ is attached hereto.
- ☒ was filed on June 14, 1994  
as Application Serial No. 08/259,413  
and was amended on December 1, 1998 and  
August 16, 1999;

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of this application is not disclosed in the prior United States

**DECLARATION AND POWER OF ATTORNEY (cont'd)**

application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the filing date of this application:

APPLICATION SERIAL NO.	FILING DATE	STATUS
07/850,675	March 13, 1992	Abandoned
07/669,862	March 15, 1991	Abandoned
07/555,274	July 19, 1990	Abandoned
07/506,522	April 6, 1990	Granted Dec. 24, 1991

**Power of Attorney:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Steven M. Odre (Reg. No. 29,094), Ron K. Levy (Reg. No. 31,539), Scott N. Bernstein (Reg. No. 38,827), Joseph W. Bullock (Reg. No. 37,103), Robert R. Cook (Reg. No. 31,602), Monique L. Cordray (Reg. No. 34,802), Craig A. Crandall (Reg. No. 38,416), Joan D. Eggert (Reg. No. 32,980), Timothy J. Gaul (Reg. No. 33,111), Matthew W. Knight (Reg. No. 36,846), Karen L. Nicastro (Reg. No. 35,968), Nancy A. Oleski (Reg. No. 34,688), Karol M. Pessin (Reg. No. 34,899), Frank S. Ungemach (Reg. No. 34,449), Stuart L. Watt (Reg. No. 32,511), Wendy A. Whiteford (Reg. No. 36,964), Robert B. Winter (Reg. No. 34,458), Thomas D. Zindrick (Reg. No. 32,185), said attorney(s)/agent(s) to have in addition full power of revocation, including the power to revoke any power herein granted.

Please send all future correspondence to:

U.S. Patent Operations/TDZ  
Dept. 4300, M/S 27-4-A  
AMGEN INC.  
One Amgen Center Drive  
Thousand Oaks, California 91320-1799

Direct Telephone Calls To:

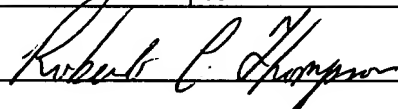
Thomas D. Zindrick  
Attorney/Agent for Applicant(s)  
Registration No.: 32,185  
Phone: (805) 447-8101

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

## DECLARATION AND POWER OF ATTORNEY (cont'd)

Full Name of Sole  
or First Inventor:Robert C. Thompson

Inventor's Signature:



Date:

10/10/01Residence and  
Post Office Address:1820 Lehigh Street  
Boulder, Colorado 80305 U.S.A.

(Address, City, State, Zip Code, Country)

Citizenship:

U.S.A.Full Name of Second  
Joint Inventor, if Any:Michael T. Brewer

Inventor's Signature:

Date:

Residence and  
Post Office Address:2236 Mapleton Avenue  
Boulder, Colorado 80304 U.S.A.

(Address, City, State, Zip Code, Country)

Citizenship:

U.S.A.Full Name of Third  
Joint Inventor, if Any:Tadahiko Kohno

Inventor's Signature:

Date:

Residence and  
Post Office Address:3197 Rickey Court  
Thousand Oaks, California 91362 U.S.A.

(Address, City, State, Zip Code, Country)

Citizenship:

U.S.A.Full Name of Fourth  
Joint Inventor, if Any:

Inventor's Signature:

Date:

Residence and  
Post Office Address:

(Address, City, State, Zip Code, Country)

Citizenship:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Harris, et al.

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Please send all future correspondence to:

U.S. Patent Operations/TDZ  
Dept. 4300, M/S 27-4-A  
AMGEN INC.  
One Amgen Center Drive  
Thousand Oaks, California 91320-1799

Direct Telephone Calls To:

Thomas D. Zindrick  
Attorney/Agent for Applicant(s)  
Registration No.: 32,185  
Phone: (805) 447-8101

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## DECLARATION AND POWER OF ATTORNEY (cont'd)

Full Name of Sole  
or First Inventor:Robert C. Thompson

Inventor's Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence and  
Post Office Address:1820 Lehigh Street  
Boulder, Colorado 80305 U.S.A.

(Address, City, State, Zip Code, Country)

Citizenship:

U.S.A.Full Name of Second  
Joint Inventor, if Any:Michael T. Brewer

Inventor's Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence and  
Post Office Address:2236 Mapleton Avenue  
Boulder, Colorado 80304 U.S.A.

(Address, City, State, Zip Code, Country)

Citizenship:

U.S.A.Full Name of Third  
Joint Inventor, if Any:Tadahiko Kohno

Inventor's Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence and  
Post Office Address:3197 Rickey Court  
Thousand Oaks, California 91362 U.S.A.

(Address, City, State, Zip Code, Country)

Citizenship:

U.S.A.Full Name of Fourth  
Joint Inventor, if Any:

Inventor's Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence and  
Post Office Address:

(Address, City, State, Zip Code, Country)

Citizenship: \_\_\_\_\_

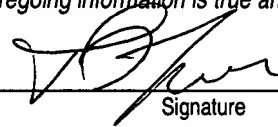
RECORDATION FORM COVER SHEET

U.S. Department of Commerce  
Patent and Trademark Office

PATENTS ONLY

Docket No.: S-210C

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

<p>1. Name of conveying party(ies): Robert C. Thompson Michael T. Brewer Tadahiko Kohno Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>		<p>2. Name and address of receiving party(ies): Name: <u>Amgen Inc.</u> Internal Address: <u>Dept. 4300, M/S 27-4-A</u> Street Address: <u>One Amgen Center Drive</u> City: <u>Thousand Oaks</u> State: <u>CA</u> Zip: <u>91320-1799</u> Additional name(s) &amp; address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>3. Nature of conveyance: <input checked="" type="checkbox"/> Assignments <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____ Execution Dates: <u>10/8/01, 10/11/01 and 10/12/01</u></p>			
<p>4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: _____ A. Patent Application No.(s) <u>08/259,413</u> B. Patent No.(s) _____ Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>			
<p>5. Name and address of party to whom correspondence concerning document should be mailed: Name: <u>U.S. Patent Operations/TDZ</u> Internal Address: <u>Dept. 4300, M/S 27-4-A</u> <u>AMGEN INC.</u> Street Address: <u>One Amgen Center Drive</u> _____ City: <u>Thousand Oaks</u> State: <u>CA</u> Zip: <u>91320-1799</u></p>		<p>6. Total number of applications and patents involved: <u>1</u> 7. Total fee (37 CFR 3.41) .....\$ <u>40.00</u> <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account. 8. Deposit account number: <u>01-0519</u> <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional filing fees which may be required or credit any overpayment to Deposit Account No. 01-0519</p>	
<p>DO NOT USE THIS SPACE</p>			
<p>9. Statement and signature. <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i> <u>Thomas D. Zindrick</u>  <u>October 12, 2001</u> Name of Person Signing Signature Date Total number of pages including cover sheet, attachments, and document: <u>6</u></p>			

**ASSIGNMENT**

Whereas, I, Robert C. Thompson, 1820 Lehigh Street, Boulder, Colorado 80305 U.S.A.

have made an invention which is the subject of an application for Letters Patent of the United States ("Application") entitled

PEGYLATION REAGENTS AND COMPOUNDS FORMED THEREWITH

which is found in:

- ☐ (a) the U.S. Patent Application executed on even date herewith;
- ☐ (b) the U.S. Patent Application executed on \_\_\_\_\_
- ☒ (c) U.S. Application Serial No.: 08/259,413 filed on June 14, 1994
- ☐ (d) U.S. Patent No.: \_\_\_\_\_

Whereas AMGEN INC., a Delaware corporation having its principal place of business at One Amgen Center Drive, Thousand Oaks, California 91320-1799 wishes to acquire the entire interest in all inventions disclosed in such Application:

Now, therefore, in consideration of the sum of one dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, I hereby sell, assign, transfer and set over unto AMGEN INC., its successors and assigns (collectively "AMGEN") my entire right, title and interest in, to and under the Application, and any provisional application(s) from which Application is derived, and all priority rights to which the Application may be entitled, including all priority rights for other countries arising therefrom, all inventions therein disclosed, and any and all Letters Patent of the United States and of all other countries which may be granted for such inventions, or any of them, including divisional, continuation, and/or continuation-in-part applications based on the above-identified Application, all such inventions and all rights in such Application and Letters Patent to be held and enjoyed by AMGEN for its own use and enjoyment to the full end of the term or terms for which such Letters Patent may be granted, as fully and entirely as the same would have been held and enjoyed by me had this assignment and sale not been made.

Further, I hereby sell, assign, transfer, and set over unto AMGEN my entire right, title and interest in or to the right to refer to, to access, and to control microorganism(s) or other biological material(s) related to the Application and which are deposited by me or at my direction or deposited on my behalf by Amgen, its affiliates, employees or employees of its affiliates. The transfer of such right, title and interest includes, without limitation, my unreserved and irrevocable consent and authorization to AMGEN to refer to the deposited microorganisms(s) or other biological materials(s) in the Application and the right to make available to the public the deposited material in accordance with the laws, treaties, statutes, rules, regulations and the like of the United States, all other countries, and any patent granting authority or organization.



I authorize and request the Commissioner of Patents and Trademarks of the United States to issue any such Letters Patent which may be granted on the Application to AMGEN as assignee of the entire right, title and interest therein and thereto.

For myself and for my legal representatives, I covenant and agree with AMGEN that I have not granted to any others any license to make, use or sell any such inventions, that my right, title and interest in such inventions has not been encumbered, that I have good right and title to sell and assign the same, and that I will not execute any instrument in conflict herewith.

For myself and for my heirs, successors and legal representatives, I further covenant and agree with AMGEN that upon request I and they will: (i) execute continuing, divisional, or reissue applications, amended specifications, or rightful declarations or oaths; (ii) communicate to AMGEN any facts known to me or them relating to such inventions or the history thereof; (iii) execute preliminary statements and testify in any interference proceedings or litigation; (iv) execute and deliver any application papers, assignments, or other instruments; and (v) do all other acts which, in the opinion of counsel for AMGEN, may be necessary or desirable to secure the grant of Letters Patent to AMGEN or its nominees, in the United States and in all other countries where AMGEN may desire to have such inventions, or any of them, patented, with specifications and claims in such form as shall be approved by counsel for AMGEN and to vest and confirm in AMGEN or its nominees the full and complete legal and equitable title to all such Letters Patent at the expense of AMGEN.

In Witness Whereof I have executed this assignment on the 14 day of Oct 2001

Robert C. Thompson  
(Name of Inventor)

Robert C. Thompson  
(Signature of Inventor)

### UNITED STATES OF AMERICA

State of Colorado }  
County of Boulder } ss:

October 11 2001

Before me, a Notary Public for Boulder County, State of Colorado, personally appeared

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Jody Barnett  
Notary Public

My commission expires

October 5 2003

**ASSIGNMENT**

Whereas, we, Michael T. Brewer, 2236 Mapleton Avenue, Boulder, Colorado 80304 U.S.A.  
Tadahiko Kohno, 3197 Rickey Court, Thousand Oaks, California 91362 U.S.A.

have made an invention which is the subject of an application for Letters Patent of the United States ("Application") entitled  
PEGYLATION REAGENTS AND COMPOUNDS FORMED THEREWITH

which is found in:

- ☐ (a) the US Patent Application executed on even date herewith;  
☐ (b) the US Patent Application executed on \_\_\_\_\_  
☒ (c) US Application Serial No.: 08/259,413 filed on June 14, 1994  
☐ (d) US Patent No.: \_\_\_\_\_

Whereas AMGEN INC., a Delaware corporation having its principal place of business at One Amgen Center Drive, Thousand Oaks, California 91320-1799, wishes to acquire the entire interest in all inventions disclosed in such Application;

Now, therefore, in consideration of the sum of one dollar (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, we hereby sell, assign, transfer and set over unto AMGEN INC., its successors and assigns (collectively "AMGEN") our entire right, title and interest in, to and under the Application, and any provisional application(s) from which Application is derived, and all priority rights to which the Application may be entitled, including all priority rights for other countries arising therefrom, all inventions therein disclosed, and any and all Letters Patent of the United States and of all other countries which may be granted for such inventions, or any of them, including divisional, continuation, and/or continuation-in-part applications based on the above identified Application, all such inventions and all rights in such Application and Letters Patent to be held and enjoyed by AMGEN for its own use and enjoyment to the full end of the term or terms for which such Letters Patent may be granted, as fully and entirely as the same would have been held and enjoyed by us had this assignment and sale not been made.

Further, we hereby sell, assign, transfer, and set over unto AMGEN our entire right, title and interest in or to the right to refer to, to access, and to control microorganism(s) or other biological material(s) related to the Application and which are deposited by us or at our direction or deposited on our behalf by Amgen, its affiliates, employees or employees of its affiliates. The transfer of such right, title and interest includes, without limitation, our unreserved and irrevocable consent and authorization to AMGEN to refer to the deposited microorganisms(s) or other biological materials(s) in the Application and the right to make available to the public the deposited material in accordance with the laws, treaties, statutes, rules, regulations and the like of the United States, all other countries, and any patent granting authority or organization.

We authorize and request the Commissioner of Patents and Trademarks of the United States to issue any such Letters Patent which may be granted on the Application to AMGEN as assignee of the entire right, title and interest therein and thereto.

For ourselves and for our legal representatives, we covenant and agree with AMGEN that we have not granted to any others any license to make, use or sell any of such inventions, that our right, title and interest in such inventions has not been encumbered, that we have good right and title to sell and assign the same, and that we will not execute any instrument in conflict herewith.

For ourselves and for our heirs, successors and legal representatives, we further covenant and agree with AMGEN that upon request we and they will: (i) execute continuing, divisional, or reissue applications, amended specifications, or rightful declarations or oaths; (ii) communicate to AMGEN any facts known to us or them relating to such inventions or the history thereof; (iii) execute preliminary statements and testify in any interference proceedings or litigation; (iv) execute and deliver any application papers, assignments, or other instruments; and (v) do all other acts which, in the opinion of counsel for AMGEN, may be necessary or desirable to secure the grant of Letters Patent to AMGEN or its nominees, in the United States and in all other countries where AMGEN may desire to have such inventions, or any of them, patented, with specifications and claims in such form as shall be approved by counsel for AMGEN and to vest and confirm in AMGEN or its nominees the full and complete legal and equitable title to all such Letters Patent, without further consideration than that now paid but at the expense of AMGEN.

In Witness Whereof I have executed this assignment on the 8th day of October 2001

\_\_\_\_\_  
Michael T. Brewer  
(Name of Inventor)

\_\_\_\_\_  
(Signature of Inventor)

**UNITED STATES OF AMERICA**

State of Colorado  
County of Boulder

} ss:

October 8, 2001

Before me, a Notary Public for Boulder County, State of Colorado, personally appeared \_\_\_\_\_

Michael T. Brewer

☒ personally known to me - OR - ☐ proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Jody Barnett  
Notary Public

My commission expires

October 5 2003

In Witness Whereof I have executed this assignment on the 12 day of Oct 2001

Tadahiko Kohno  
(Name of Inventor)

*Tadahiko Kohno*  
(Signature of Inventor)

UNITED STATES OF AMERICA

State of California  
County of Ventura } ss:

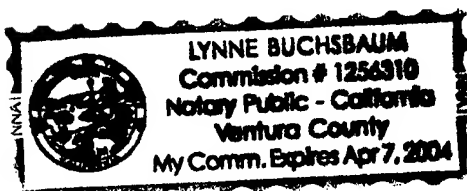
October 12 2001

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Tadahiko Kohno

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WITNESS my hand and official seal.



*Lynne Buchsbaum*  
Notary Public

My commission expires

April 7 2004